

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
22908-1227BSERIAL NO.  
09/586,625

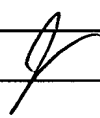
LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION & DISCLOSURE  
STATEMENT

APPLICANT  
Barbas III et al.FILING DATE  
06/02/00GROUP  
1645

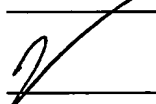
## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB CLASS	FILING DATE

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB CLASS	Translation	
													Yes	No
	A	0	5	4	0	0	6	5	05/05/93	EP				

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	B	Burcin <i>et al.</i> , "A regulatory system for target gene expression", <i>Frontiers in Bioscience</i> , v.3, 1-7, 1998.

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EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA	4	3	9	4	4	4	3	07/19/83	Weissman et al.	435	6	12/18/80
	AB	4	4	4	6	2	3	5	05/01/84	Seeburg	435	91	03/22/82
	AC	4	9	9	0	6	0	7	02/05/91	Katagiri et al.	536	27	03/14/89
	AD	5	1	9	8	3	4	6	03/30/93	Ladner et al.	435	69.1	07/26/90
	AE	5	3	6	4	7	9	1	11/15/94	Vegeto et al.	435	320.1	05/14/92
	AF	5	3	7	6	5	3	0	12/27/94	De The et al.	435	6	07/22/93
	AG	5	5	7	8	4	8	3	11/26/96	Evans et al.	435	240.2	06/21/91
	AH	5	7	8	9	5	3	8	08/04/98	Rebar et al.	530	324	04/18/97
	AI	5	8	7	4	5	3	4	02/23/99	Vegeto et al.	530	350	06/05/95
	AJ	5	9	3	5	9	3	4	08/10/99	Vegeto et al.	514	44	05/30/95

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB CLASS	Translation Yes No	
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	AL	9	3	2	3	4	3	1	11/25/93	PCT				
	AM	9	5	1	9	4	3	1	07/20/95	PCT				
	AN	9	6	4	0	9	1	1	12/19/96	PCT				
	AO	9	8	1	8	9	2	5	05/07/98	PCT				
	AP	9	8	5	4	3	1	1	12/03/98	PCT				

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	AQ	Agarwal et al. Stimulation of Transcript Elongation Requires both the Zinc Fingers and RNA Polymerase II Binding Domains of Human TFIIS, <u>Biochemistry</u> 30:7842-51 (1991).
	AR	Altschul et al., Basic Local Alignment Search Tool, <u>J. Mol. Biol.</u> 215:403-410 (1990).
	AS	Aumais et al., "elective Interaction of hsp90 with an Estrogen Receptor Ligand-binding Domain Containing a Point Mutation, <u>J. Biol. Chem.</u> 272(18):12229-35 (1997).

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## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

J	AT	Ayer <i>et al.</i> , Mad Proteins Contain a Dominant Transcription Repression Domain, <u>Mol. Cell. Biol.</u> 16(10):5772-5781 (1996).
J	AU	Barbas <i>et al.</i> , From Catalytic Asymmetric Synthesis to the Transcriptional Regulation of Genes: In Vivo and In Vitro Evolution of Proteins, <u>Adv. Protein Chem.</u> 55:317-66 (2000).
J	AV	Barbas <i>et al.</i> , Semisynthetic combinatorial antibody libraries: A chemical solution to the diversity problem, <u>TITLE????</u> 89:4457-61 (1992).
J	AW	Barbas <i>et al.</i> , Assembly of combinatorial antibody libraries on phage surfaces: The gene III site, <u>Proc. Natl. Acad. Sci. USA</u> , 88:7978-82 (1991).
J	AX	Barbas <i>et al.</i> , Combinatorial Immunoglobulin Libraries on the Surface of Phage (Phabs): Rapid Selection of Antigen-Specific Fabs, <u>Methods</u> 2:119-24 (1991).
J	AY	Baron <i>et al.</i> , Tetracycline-controlled transcription in eukaryotes: novel transactivators with graded transactivation potential, <u>Nucl. Acids. Res.</u> 25(14):2723-9 (1997).
J	AZ	Beerli <i>et al.</i> , Positive and Negative Regulation of Endogenous Genes by Designed Transcription Factors, <u>Proc. Natl. Acad. Sci. USA</u> 97(4):1495-500 (2000).
J	BA	Beerli <i>et al.</i> , Chemically Regulated Zinc Finger Transcription Factors, <u>J. Biol. Chem.</u> 275(42):32617-27 (2000).
J	BB	Beerli <i>et al.</i> , Chemically Regulated Zinc Finger Transcription Factors, Journal of Biological Chemistry Papers in Press. Live on the JBC's website on August 2, 2000 as Manuscript M005108200.
J	BC	Beerli <i>et al.</i> , Toward controlling gene expression at will: Specific regulation of <i>erbB-2/HER-2</i> promoter by using polydactyl zinc finger proteins constructed from modular building blocks, <u>Proc. Natl. Acad. Sci. USA</u> 95:14628-33 (1998).
J	BD	Bergqvist <i>et al.</i> Loss of DNA-binding and new transcriptional <i>trans</i> -activation function in polyomavirus large T-antigen with mutation of zinc finger motif, <u>Nucl. Acids Res.</u> 18(9):2715-20 (1990).
J	BE	Better <i>et al.</i> , <i>Escherichia coli</i> Secretion of an Active Chimeric Antibody Fragment, <u>Science</u> 240:1041-3 (1988).
J	BF	Burcin <i>et al.</i> , Adenovirus-mediated regulable target gene expression <i>in vivo</i> , <u>Proc. Natl. Acad. Sci. USA</u> 96:355-60 (1999).
J	BG	Carrillo, <i>et al.</i> , The Multiple Sequence Alignment Problem in Biology, <u>SIAM J Applied Math</u> 48(5):1073 (1988).
J	BH	Choo <i>et al.</i> , Toward a code for the interaction of zinc fingers with DNA: Selection of randomized fingers displayed on phage, <u>Proc. Natl. Acad. Sci. USA</u> 91:11163-7 (1994).

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	BI	Corsaro <i>et al.</i> , Enhancing the Efficiency of DNA-Mediated Gene Transfer in Mammalian Cells, <u>Somatic Cell Genetics</u> 7(5):603-616 (1981).
	BJ	Danielian <i>et al.</i> , Identification of Residues in the Estrogen Receptor That Confer Differential Sensitivity to Estrogen and Hydroxytamoxifen, <u>Mol. Endocrinol.</u> 7:234-40 (1993).
	BK	Debs <i>et al.</i> Regulation of Gene Expression <i>in Vivo</i> by Liposome-mediated Delivery of a Purified Transcription Factor, <u>J. Biol. Chem.</u> 265(18):10189-92 (1990).
	BL	Desjarlais, <i>et al.</i> , Use of zinc-finger consensus framework and specificity rules to design specific DNA binding proteins, <u>Proc. Natl. Acad. Sci. USA</u> 90:2256-60 (1993).
	BM	Devereux <i>et al.</i> , A comprehensive set of sequence analysis programs for the VAX, <u>Nucleic Acids Research</u> 129(1):387-395 (1984).
	BN	Drier <i>et al.</i> , Insights into the Molecular Recognition of the 5'-GNN-3' Family of DNA Sequences by Zinc Finger Domains, <u>J. Mol. Biol.</u> 303(4):489-502 (2000).
	BO	Elrod-Erickson <i>et al.</i> , High-resolution structures of variant Zif268-DNA complexes: implications for understanding zinc finger-DNA recognition, <u>Structure</u> 6:451-64 (1998).
	BP	Elrod-Erickson <i>et al.</i> , Zif268 protein-DNA complex refined at 1.6 Angstroms: a model system for understanding zinc finger-DNA interactions, <u>Structure</u> 4:1171-80 (1996).
	BQ	Fraley <i>et al.</i> , New generation liposomes: the engineering of an efficient vehicle for intracellular delivery of nucleic acids, <u>Trends Biochem. Sci.</u> 6:77-80 (1981).
	BR	Friedman <i>et al.</i> , KAP-1, a novel corepressor for the highly conserved KRAB repression domain, <u>Genes &amp; Dev.</u> 10:2067-78 (1996).
	BS	Gorziglia <i>et al.</i> , Elimination of both E1 and E2a from Adenovirus Vectors Further Improves Prospects for In Vivo Human Gene Therapy, <u>J. Virol.</u> 70(6):4173-78 (1996).
	BT	Gossen <i>et al.</i> , Tight control of gene expression in mammalian cells by tetracycline-responsive promoters, <u>Proc. Natl. Acad. Sci. USA</u> 89:5547-51 (1992).
	BU	Greisman <i>et al.</i> , A General Strategy for Selecting High-Affinity Zinc Finger Proteins for Diverse DNA Target Sites, <u>Science</u> 275:657-61 (1997).
	BV	Gribskov, <i>et al.</i> , Sigma factors from <i>E. coli</i> , <i>B. subtilis</i> , phage SP01, and phage T4 are homologous proteins, <u>Nucl. Acids Res.</u> 14:6745-63 (1986).
	BW	Grignani <i>et al.</i> Formation of PML/RAR $\alpha$ high molecular weight complexes through the PML coiled-coil region is essential for the PML/RAR $\alpha$ -mediated retinoic acid response, <u>Oncogene</u> 18:6313-21 (1999).

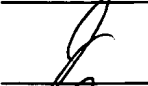
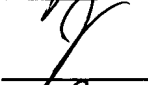

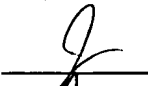

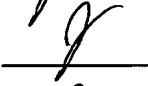


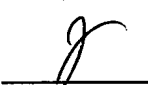


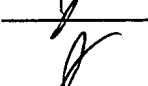
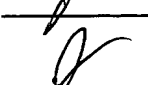
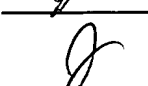
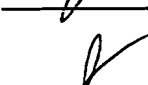
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	BX	Hall <i>et al.</i> , Efficient sequence-specific cleavage of RNA using novel europium complexes conjugated to oligonucleotides, <u>Chemistry and Biology</u> 1:185-190 (1994).
	BY	He <i>et al.</i> , A simplified system for generating recombinant adenoviruses, <u>Proc. Natl. Acad. Sci. USA</u> 95:2509-14 (1998).
	BZ	Heinzel <i>et al.</i> , A complex containing N-CoR, mSin3 and histone deacetylase mediates transcriptional repression, <u>Nature</u> 387:43-6 (1997).
	CA	Isalan <i>et al.</i> , Comprehensive DNA Recognition through Concerted Interactions from Adjacent, <u>Biochemistry</u> 37:12026-33 (1998).
	CB	Ishii <i>et al.</i> , Characterization of the promoter region of the human <i>c-erbB-2</i> protooncogene, <u>Proc. Natl. Acad. Sci. USA</u> 84:4374-8 (1987).
	CC	Jacobs <i>et al.</i> Determination of the base recognition positions of zinc fingers from sequence analysis, <u>The EMBO Journal</u> 11(12):4507-17 (1992).
	CD	Jamieson <i>et al.</i> , A zinc finger directory for high-affinity DNA recognition, <u>Proc. Natl. Acad. Sci. USA</u> 93:12834-9 (1996).
	CE	Jamieson <i>et al.</i> , <i>In Vitro</i> Selection of Zinc Fingers with Altered DNA-Binding Specificity, <u>Biochemistry</u> 33:5689-95 (1994).
	CF	Jaye <i>et al.</i> , Isolation of a human anti-haemophilic factor IX cDNA clone using a unique 52-base synthetic oligonucleotide probe deduced from the amino acids sequence of bovine factor IX, <u>Nucl. Acids. Res.</u> 11: 2325-35 (1983).
	CG	Julian <i>et al.</i> Replacement of His <sup>(23)</sup> by Cys in a zinc finger of HiV-1 NCp7 led to a change in <sup>1</sup> H NMR-derived 3D structure and to a loss of biological activity, <u>FEBS</u> 331(1-2):43-8 (1993).
	CH	Kalderon <i>et al.</i> A Short Amino Acid Sequence Able to Specify Nuclear Location, <u>Cell</u> 39:499-509 (1984).
	CI	Lai <i>et al.</i> , Conserved organization of the human and murine T-cell receptor $\beta$ -gene families, <u>Nature</u> 331:543-6 (1988).
	CJ	Landschulz <i>et al.</i> The Leucine Zipper: A Hypothetical Structure Common to a New Class of DNA Binding Proteins, <u>Science</u> 240:1759-64 (1988).
	CK	Littlewood <i>et al.</i> , A modified oestrogen receptor ligand-binding domain as a improved switch for the regulation of heterologous proteins, <u>Nucl. Acids. Res.</u> 23: 1686-90 (1995).
	CL	Liu <i>et al.</i> , Design of Polydactyl Zinc-finger Proteins for Unique Addressing within Complex Genomes, <u>Proc. Natl. Acad. Sci. USA</u> 94(11):5525-30 (1997).

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	CM	Mack <i>et al.</i> , Design and Chemical Synthesis of a Sequence-Specific DNA-Cleavage Protein, <u>J. Am. Chem. Soc.</u> 110:7572-4 (1988).
	CN	Maniatis <i>et al.</i> , Molecular Cloning-A Laboratory Manual, <u>Cold Spring Harbor Laboratory</u> (1982).
	CO	Mannino <i>et al.</i> , Liposome Mediated Gene Transfer, <u>BioTechniques</u> 6(7):682-690 (1988).
	CP	Margolin <i>et al.</i> , Kruppel-associated Boxes are Potent Transcriptional Repression Domains, <u>Proc. Natl. Acad. Sci USA</u> 91:4509-4513 (1994).
	CQ	Mullinax <i>et al.</i> , Identification of Human Antibody Fragment Clones Specific for Tetanus Toxoid in a Bacteriophage $\lambda$ Immunoexpression Library, <u>Proc. Natl. Acad. Sci USA</u> 87:8095-8099 (1990).
	CR	Needleman and Wunsch, A General Method Applicable to the Search for Similarities in the Amino Acid Sequence of Two Proteins, <u>J. Mol. Biol.</u> 48:443-453 (1970).
	CS	O'Shea <i>et al.</i> , X-Ray Structure of the GCN4 Leucine Zipper, a Two-Stranded, Parallel Coiled Coil, <u>Science</u> 254:539-544 (1991).
	CT	Pavletich and Pabo, Zinc Finger-DNA Recognition: Crystal Structure of a Zif268-DNA Complex at 2.1 Å, <u>Science</u> 252:809-817 (1991).
	CU	Pearson and Lipman, Improved Tools for Biological Sequence Comparison, <u>Proc. Natl. Acad. Sci. USA</u> 85:2444-2448 (1988).
	CV	Penque and Lania, Kruppel-Associated Box-Mediated Repression of RNA Polymerase II Promoters is Influenced by the Arrangement of Basal Promoter Elements, <u>Proc. Natl. Acad. Sci. USA</u> 93:1015-1020 (1996).
	CW	Pomerantz et al., Structure based design of transcription factors. <u>Science</u> 267:93-96 (1995).
	CX	Quigley <i>et al.</i> Complete Androgen Insensitivity Due to Deletion of Exon C of the Androgen Receptor Gene Highlights the Functional Importance of the Second zinc Finger of the Androgen Receptor <i>in Vivo</i> , <u>Molecular Endocrinology</u> 6:1103-12 (1992).
	CY	Rader and Barbas III, Phage Display of Combinatorial Antibody Libraries, <u>Current Opinion in Biotechnology</u> 8:503-508 (1997).
	CZ	Rauscher <i>et al.</i> Binding of the Wilms' Tumor Locus Zinc Finger Protein to the EGR-1 Consensus Sequence, <u>Science</u> 250:1259-61 (1990).
	DA	Ray <i>et al.</i> Repressor to activator switch by mutations in the first Zn finger of the glucocorticoid receptor: Is direct DNA binding necessary? <u>Proc. Natl. Acad. Sci. USA</u> 88:7086-90 (1991).

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J	DC	Regulatory Issues: Future Meetings of the NIH Recombinant DNA Advisory Committee, <u>Human Gene Therapy</u> 5:541-563 (1994).
J	DD	Rollins <i>et al.</i> Role of TFIIIA Zinc Fingers In Vivo: Analysis of Single-Finger Function in Developing <i>Xenopus</i> Embryos, <u>Molecular and Cellular Biology</u> 13(8):4776-83 (1993).
J	DE	Sadowski <i>et al.</i> , GAL4-VP16 is an Unusually Potent Transcriptional Activator, <u>Nature</u> 335:563-564 (1988).
J	DF	Sadowski <i>et al.</i> , GAL4 Fusion Vectors for Expression in Yeast or Mammalian Cells, <u>Gene</u> 118:137-141 (1992).
J	DG	Sastry <i>et al.</i> , Cloning of the Immunological Repertoire in <i>Escherichia coli</i> for Generation of Monoclonal Catalytic Antibodies: Construction of a Heavy Chain Variable Region-Specific cDNA Library, <u>Proc. Natl. Acad. Sci USA</u> 86:5728-5732 (1989).
J	DH	Schnaith <i>et al.</i> , Double-Stranded Cleavage of pBR322 by a Diiron Complex Via a "hydrolytic" Mechanism, <u>Proc. Natl. Acad. Sci USA</u> 91:569-573 (1994).
J	DI	Segal <i>et al.</i> , Toward Controlling Gene Expression at Will: Selection and Design Of Zinc Finger Domains Recognizing Each of the 5'-GNN-3' DNA Target Sequences, <u>Proc. Natl. Acad. Sci. USA</u> 96(6):2758-63 (1999).
J	DJ	Segal <i>et al.</i> , Design of Novel Sequence-Specific DNA-Binding Proteins, <u>Curr. Opin. Chem. Biol.</u> 4(1):34-9 (2000).
J	DK	Seipel <i>et al.</i> , Different Activation Domains Stimulate Transcription from Remote ('Enhancer') and Proximal ('Promoter') Position, <u>The EMBO J.</u> 11(13):4961-4968 (1992).
J	DL	Sgouras <i>et al.</i> , ERF: an ETS Domain Protein with Strong Transcriptional Repressor Activity, Can Suppress ets0associated Tumorigenesis and is Regulated by Phosphorylation During Cell Cycle and Mitogenic Stimulation, <u>The EMBO J.</u> 14(19):4781-4793 (1995).
J	DM	Sigman, D., Chemical Nucleases, <u>Biochemistry</u> 29(39):9097-9105 (1990).
J	DN	Smith, <i>et al.</i> , Single Step purification of polypeptides expressed in <i>Escherichia coli</i> as fusions with glutathione S-transferase, <u>Gene</u> 67:31-40 (1988).
J	DO	Smith, <i>et al.</i> , Comparison of Biosequences, <u>Adv. Appl. Math.</u> 2:482 (1981).
J	DP	South <i>et al.</i> The Nucleocapsid Protein Isolated from HIV-1 Particles Binds Zinc and Forms Retroviral-Type Zinc Fingers, <u>Biochemistry</u> 29:7786-89 (1990).

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J	DQ	Steinberger <i>et al.</i> , Generation and characterization of a recombinant human CCR5-specific Antibody: A phage display approach for rabbit antibody humanization, <u>J. Biol. Chem.</u> 275(46): 36073-36078 (2000).
J	DR	Swirnoff and Milbrandt, DNA-Binding Specificity of NGF-A and Related Zinc Finger Transcription Factors, <u>Mol. Cell. Biol.</u> 15(4):2275-2287 (1995).
J	DS	Takasaki and Chin, Cleavage of the Phosphate Diester Backbone of DNA with Cerium (III) and Molecular Oxygen, <u>J. Am. Chem. Soc.</u> 116:1121-1122 (1994).
J	DT	Thiesen and Bach, Target Detection Assay (TDA): a Versatile Procedure to Determine DNA Binding Sites as Demonstrated on SP1 Protein, <u>Nucleic Acids Res.</u> 18(11): 3203-3209 (1990).
J	DU	Thukral <i>et al.</i> , Mutations in the Zinc Fingers of ADR1 That Change the Specificity of DNA Binding and Transactivation, <u>Molecular and Cellular Biology</u> 12(6):2784-92 (1992).
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EXAMINER

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